

**U.S. District Court  
District of Columbia (Washington, DC)  
CIVIL DOCKET FOR CASE #: 1:19-cv-00640-ABJ**

NEW YORK STOCK EXCHANGE LLC v. SECURITIES  
AND EXCHANGE COMMISSION

Assigned to: Judge Amy Berman Jackson  
Cause: 05:552 Freedom of Information Act

Date Filed: 03/07/2019

Jury Demand: None

Nature of Suit: 895 Freedom of  
Information Act

Jurisdiction: U.S. Government Defendant

**Plaintiff**

**NEW YORK STOCK EXCHANGE  
LLC**

represented by **Christina Marleen Carroll**  
DENTONS US LLP  
1900 K Street, NW  
Washington, DC 20006  
(202) 496-7212  
Fax: (202) 756-7756  
Email: [Christina.Carroll@dentons.com](mailto:Christina.Carroll@dentons.com)  
**LEAD ATTORNEY**  
**ATTORNEY TO BE NOTICED**

**Douglas W. Henkin**  
DENTONS US LLP  
1221 Avenue of the Americas  
New York, NY 10020  
(212) 768-6832  
Fax: (212) 768-6800  
Email: [douglas.henkin@dentons.com](mailto:douglas.henkin@dentons.com)  
**LEAD ATTORNEY**  
**ATTORNEY TO BE NOTICED**

V.

**Defendant**

**SECURITIES AND EXCHANGE  
COMMISSION**

represented by **William Smith Greig**  
U.S. SECURITIES & EXCHANGE  
COMMISSION  
100 F Street, NE  
Washington, DC 20549  
(202) 551-5147  
Fax: (202) 772-9263  
Email: [greigw@sec.gov](mailto:greigw@sec.gov)  
**LEAD ATTORNEY**  
**ATTORNEY TO BE NOTICED**

| Date Filed | #        | Docket Text   |
|------------|----------|---|
| 03/07/2019 | <u>1</u> | COMPLAINT against SECURITIES AND EXCHANGE COMMISSION ( Filing fee \$ 400 receipt number 0090-5987153) filed by NEW YORK STOCK EXCHANGE LLC. (Attachments: # <u>1</u> Exhibit A, # <u>2</u> Exhibit B, # <u>3</u> Civil Cover Sheet, # <u>4</u> Summons (to: Securities and Exchange Commission), # <u>5</u> Summons (to: U.S. Attorney General), # <u>6</u> Summons (to: U.S. Attorney for the District of Columbia))(Carroll, Christina) (Entered: 03/07/2019) |
| 03/07/2019 | <u>2</u> | LCvR 26.1 CERTIFICATE OF DISCLOSURE of Corporate Affiliations and Financial Interests by NEW YORK STOCK EXCHANGE LLC (Carroll, Christina) (Entered: 03/07/2019)   |
| 03/07/2019 |          | Case Assigned to Judge Amy Berman Jackson. (zef, ) (Entered: 03/07/2019)  |

|            |           |   |
|------------|-----------|---|
| 03/07/2019 | <u>3</u>  | SUMMONS (3) Issued Electronically as to SECURITIES AND EXCHANGE COMMISSION, U.S. Attorney and U.S. Attorney General. (Attachments: # <u>1</u> Notice and Consent)(zef, ) (Entered: 03/07/2019)  |
| 03/08/2019 | <u>4</u>  | NOTICE of Appearance by Douglas W. Henkin on behalf of NEW YORK STOCK EXCHANGE LLC (Henkin, Douglas) (Entered: 03/08/2019)  |
| 03/13/2019 | <u>5</u>  | RETURN OF SERVICE/AFFIDAVIT of Summons and Complaint Executed as to the United States Attorney. Date of Service Upon United States Attorney on 3/8/2019. ( Answer due for ALL FEDERAL DEFENDANTS by 4/7/2019.), RETURN OF SERVICE/AFFIDAVIT of Summons and Complaint Executed. SECURITIES AND EXCHANGE COMMISSION served on 3/7/2019 (Attachments: # <u>1</u> Affidavit of Service (SEC))(Henkin, Douglas) (Entered: 03/13/2019)  |
| 03/19/2019 | <u>6</u>  | RETURN OF SERVICE/AFFIDAVIT of Summons and Complaint Executed on United States Attorney General. Date of Service Upon United States Attorney General 03/11/2019. (Carroll, Christina) (Entered: 03/19/2019)   |
| 04/08/2019 | <u>7</u>  | NOTICE of Appearance by William Smith Greig on behalf of SECURITIES AND EXCHANGE COMMISSION (Greig, William) (Entered: 04/08/2019)  |
| 04/08/2019 | <u>8</u>  | ANSWER to Complaint by SECURITIES AND EXCHANGE COMMISSION.(Greig, William) (Entered: 04/08/2019)  |
| 04/09/2019 |           | MINUTE ORDER. Before the Court in this FOIA case are a complaint and an answer. The requirements of Local Civil Rule 16.3 and Rule 26(f) of the Federal Rules of Civil Procedure appear to be inapplicable. Defendant shall file a dispositive motion or, in the alternative, a report setting forth the schedule for the completion of its production of documents to plaintiff, on or before May 7, 2019. SO ORDERED. Signed by Judge Amy Berman Jackson on 04/09/2019. (lcabj3) (Entered: 04/09/2019)    |
| 05/03/2019 | <u>9</u>  | STIPULATION and <i>[Proposed]</i> Order re: <i>production of Vaughn Index and deferral of dispositive motion deadline</i> by NEW YORK STOCK EXCHANGE LLC. (Carroll, Christina) (Entered: 05/03/2019)  |
| 05/03/2019 | <u>10</u> | ORDER that defendant shall produce to plaintiff a final Vaughn Index by June 21, 2019 and that the parties shall confer and file by July 3, 2019 a status report and proposed schedule for further proceedings, if necessary. See Order for details. The parties are advised for future reference that the proper way in this court to obtain an extension of a date set by the Court is to file a consent motion. See LCvR 16.1. Signed by Judge Amy Berman Jackson on 5/3/19. (DMK) (Entered: 05/03/2019) |
| 05/04/2019 |           | Set/Reset Deadlines: Defendant shall produce to Plaintiff a final Vaughn Index by 6/21/2019 and that the parties shall confer and file by 7/3/2019 a Status Report and Proposed Schedule for Further Proceedings, if necessary. (jth) (Entered: 05/04/2019)   |